



PTO/SB/21 (09-06)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

8

Application Number

Patent#: 7,159,070

Filing Date

Issued: January 2, 2007

First Named Inventor

Stephen J. Todd, et al.

Art Unit

2186

Examiner Name

L. Iwashko

Attorney Docket Number

E0295.70196US00

## ENCLOSURES (Check all that apply)

☒ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts under  
37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication  
to TC☐ Appeal Communication to Board of  
Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please  
Identify below):Request Under 35 C.F.R. section  
3.81(b) For Correction To State the  
Name of the Assignee;  
Certificate of Correction;  
Copy of Assignment previously filed;  
Return Receipt Postcard

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

WOLF, GREENFIELD &amp; SACKS, P.C.

Signature

Printed name

Scott J. Gerwin

Date

March 26, 2007

Reg. No.

57,866

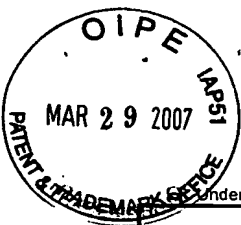
## Certificate of Mailing Under 37 CFR 1.8(a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: March 26, 2007

Signature:

  
(Eileen M. MacKenzie)



Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## FEE TRANSMITTAL

### For FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

#### Complete if Known

Application Number	Patent#: 7,159,070
Filing Date	Issued: January 2, 2007
First Named Inventor	Stephen J. Todd, et al.
Examiner Name	L. Iwashko
Art Unit	2186
Attorney Docket No.	E0295.70196US00

#### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☐ Deposit Account Deposit Account Number: 23/2825 Deposit Account Name: Wolf, Greenfield & Sacks, P.C.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

#### FEE CALCULATION

##### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

##### 2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims 21 - 24 = 3 x 360 = 1080 Fee Paid (\$)

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims 3 - 3 = 0 x 200 = 0 Fee Paid (\$)

HP = highest number of independent claims paid for, if greater than 3.

##### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets 100 - 100 = 0 / 50 = 0 (round up to a whole number) x 125 = 0 Fee Paid (\$)

##### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): 1464 Petitions to the Director not specifically ... 130.00 Fees Paid (\$)

##### SUBMITTED BY

Signature	<u>Scott J. Gerwin</u>	Registration No. (Attorney/Agent)	<u>57,866</u>	Telephone	<u>(617) 646-8000</u>
Name (Print/Type)	<u>Scott J. Gerwin</u>	Date	<u>March 26, 2007</u>		

##### Certificate of Mailing Under 37 CFR 1.8(a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: March 26, 2007

Signature: Eileen M. MacKenzie (Eileen M. MacKenzie)




*DTE*  
*TH*

Docket No.: E0295.70196US00  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Stephen J. Todd, et al.  
Serial No.: 10/731,796  
Confirmation No.: 4319  
Filed: December 9, 2003  
Patent No.: 7,159,070  
For: METHODS AND APPARATUS FOR CACHING A LOCATION  
INDEX IN A DATA STORAGE SYSTEM

Examiner: L. Iwashko  
Art Unit: 2186

<b>Certificate of Mailing Under 37 CFR 1.8(a)</b>	
I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.	
Dated: <u>March 26, 2007</u>	 Eileen M. MacKenzie

Mail Stop Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**REQUEST UNDER 37 C.F.R. §3.81(b) FOR CORRECTION TO STATE THE NAME OF  
THE ASSIGNEE**

Applicants hereby request, under 37 C.F.R. §3.81(b), that the patent issued from the above identified application be corrected to state the name of the Assignee ("EMC Corporation").

The assignment document, submitted for recordation in accordance with 37 C.F.R. §3.11 prior to issuance of the patent, and recorded on December 9, 2003 on Reel 014787, frame 0158 (copy enclosed), identifies EMC Corporation as the assignee of this patent. Applicants inadvertently omitted the assignee information on the issue fee transmittal at the time the issue fee was paid. The error was not discovered until the patent issued.

Pursuant to 37 C.F.R. §3.81(b), a request for issuance of a Certificate of Correction to correct this error is enclosed. Applicants wish to point out that the correction requested does not involve

03/30/2007 AWQHDAF1 00000099 10731796

01 FC:1464

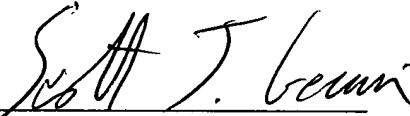
130.00 0P

changes in the patent that constitute new matter or would require reexamination, and therefore, respectfully request that this file be forwarded to the Certificates of Correction Branch for issuance of a Certificate of Correction. Applicants previously paid the fee set forth in 37 C.F.R. §1.20(a) associated with the Certificate of Correction with Applicants' previous request mailed January 2, 2007. Thus, no additional fee under 37 C.F.R. §1.20(a) is believed to be required.

A check for the petition fee of \$130.00 as set forth in 37 C.F.R. §1.17(i) is enclosed. Please charge any other fee which may be due to Attorney's Deposit Account No. 23/2825. A duplicate of this request is enclosed.

Dated: March 26, 2007

Respectfully submitted,

By 

Scott J. Gerwin

Registration No.: 57,866

WOLF, GREENFIELD & SACKS, P.C.

Federal Reserve Plaza

600 Atlantic Avenue

Boston, Massachusetts 02210-2206

(617) 646-8000



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## Assignments on the Web > Patent Query

### Patent Assignment Abstract of Title

***NOTE: Results display only for issued patents and published applications.  
For pending or abandoned applications please consult USPTO staff.***

#### Total Assignments: 1

**Patent #:** 7159070

**Issue Dt:** 01/02/2007 **Application #:** 10731796 **Filing Dt:** 12/09/2003

**Publication #:** US20050125627 **Pub Dt:** 06/09/2005

**Inventors:** Michael Kilian, Stephen Todd

**Title:** METHODS AND APPARATUS FOR CACHING A LOCATION INDEX IN A DATA STORAGE SYSTEM

#### Assignment: 1

**Reel/Frame:** 014787/0158

**Recorded:** 12/09/2003

**Pages:** 3

**Conveyance:** ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

**Assignors:** KILIAN, MICHAEL

**Exec Dt:** 11/21/2003

TODD, STEPHEN

**Exec Dt:** 11/21/2003

**Assignee:** EMC CORPORATION

176 SOUTH STREET

HOPKINTON, MASSACHUSETTS

**Correspondent:** WOLF, GREENFIELD & SACKS, P.C.

RICHARD F. GIUNTA

FEDERAL RESERVE PLAZA

600 ATLANTIC AVENUE

BOSTON, MA 02210

If you have any comments or questions concerning the data displayed, contact PRD / Assignments at 571-272-3350.  
Search Results as of: 01/12/2007 03:08 PM  
Web interface last modified: July 26, 2006 v.1.10

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E0295.70196US00

### ASSIGNMENT

For good and valuable consideration, the sufficiency of which is hereby acknowledged, I/we, the undersigned, hereby:

Sell, assign and transfer to EMC Corporation, a Massachusetts corporation having a place of business at 176 South Street, Hopkinton, MA, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed in the United States Patent and Trademark Office, bearing attorney docket number E0295.70196US00 and entitled **METHODS AND APPARATUS FOR CACHING A LOCATION INDEX IN A DATA STORAGE SYSTEM**, and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority;

Agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, I agree to carry out in good faith the intent and purpose of this assignment, by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to me relating to said inventions and the history thereof, and generally by doing everything reasonably possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee;

Request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee; and

Covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us/me.

Nov. 21, 2003  
Date

Michael Kilian  
Michael Kilian

STATE OF Massachusetts:  
COUNTY OF Suffolk:

Subscribed and sworn to before me this 21st day of November, 2003

SEAL

Donna V. Reed  
Notary Public

My Commission Expires 3/19/04

Nov 21, 2003  
Date

Stephen Todd  
Stephen Todd

STATE OF Massachusetts:  
COUNTY OF Suffolk:

Subscribed and sworn to before me this 21st day of November, 2003

SEAL

Donna V. Reed  
Notary Public

My Commission Expires 3/19/04

**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**

Page 1 of 1

PATENT NO. : 7,159,070  
APPLICATION NO. : 10/731,796  
ISSUE DATE : January 2, 2007  
INVENTOR(S) : Stephen J. Todd, et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

[73] Assignee: EMC Corporation, Hopkinton, Massachusetts

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Scott J. Gerwin  
WOLF, GREENFIELD & SACKS, P.C.  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2206